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ABSTRACT

These guidelines are designed for use by the vice chancellor, dean, department chair, and others involved in academic program planning and approval within the University of Wisconsin System. The full policy governing academic program planning and review is contained in another document, "Academic Planning and Program Review." The major focus of these guidelines is on the process for requesting and implementing new academic programs. These guidelines describe the steps involved in this process in each of four major phases: request for entitlement to plan an academic program, authorization to implement the new program, implementation of the new academic program, and joint program review. The guidelines also provide suggested formats for use in developing the proposal for authorization to implement and in the joint program review. (EV)

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ED 449 707

GUIDELINES FOR ACADEMIC PROGRAM PLANNING AND APPROVAL

ACIS -1.0

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UW System Office of Academic Affairs

January 1999

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These guidelines are designed for use by the Vice Chancellor, Dean, Department Chair and others involved in academic program planning and approval. The full policy governing academic program planning and review is contained in ACIS-1.0, *Academic Planning and Program Review*. The major focus of these guidelines is on the process for requesting and implementing new academic programs. The guidelines describe the steps involved in this process in each of four major phases: Request for Entitlement to Plan an Academic Program, Authorization to Implement the New Program, Implementation of the New Academic Program, and Joint Program Review. The guidelines also provide suggested formats for use in developing the proposal for Authorization to Implement and in the Joint Program Review.

The process of requesting and receiving Authorization to Implement a new academic program is intended to be a collaborative effort between the requesting institution and the UW System Office of Academic Affairs. A representative from the Office of Academic Affairs will serve as a member of the Program Review Committee that reviews the proposal for Authorization to Implement a New Program and also as a member of the Joint Review Committee when the program undergoes review five years after initiation.

Questions about the process outlined in this document should be addressed to Associate Vice President Sharon James in the Office of Academic Affairs.

Academic Program Reporting Overview

This table describes the various academic program actions that require approval or reporting. Institutions are expected to consult with each other and with UW System Administration at appropriate points in the process of developing and implementing all new academic programs. The following sections in *Guidelines for Academic Program Planning and Approval* describe this procedure in detail.

NOTE: All submissions should be directed to the UW System Senior Vice President for Academic Affairs. All "I" items will be reported to the Board of Regents annually or upon request.

Institutional Action	System Admin Action	Board of Regent Action	Required Documentation
1. Establish New Academic Programs:			
a. Preliminary Entitlement	A	I	Memo requesting Entitlement to Plan
b. Authorization to Implement	A	A	Executive Summary and Program Proposal for Authorization to Implement
c. Implementation	I	I	Memo stating date of Implementation
d. Joint Review	A	I	Report and Recommendation
2. Establish or Alter the Institutional Mission	A	A	Written notification
3. Extend Degree Program to a Second Institution	A	I	Written request
4. Establish, Rename or Eliminate a College/School/Division[1]	A	A	Written notification
5. Redirect Major/Degree Substantively	A	I	Written notification
6. Establish, Rename or Eliminate a Department	I	I	Written notification
7. Establish, Rename or Eliminate a Center or Institute[2]	I	I	Written notification
8. Eliminate a Degree/Major/Submajor	I	I	Written notification
9. Rename Major/Degree/Submajor	I	I	Written notification
10. Establish Submajor or Certification Program	I	I	Written notification
11. Review General Education Program	I	I	Report to coincide with NCA re-accreditation
12. Report on Institutional Program Review	I	I	Summaries due October 1 of each year

A = Approval Required
I = Information Only

[1] = Section 36.09 (1)(gm), *Wis. Stats.*, applies to creation of some schools or colleges
[2] = Only when state funds are involved initially or as a commitment for continuing the center or institute

NEW PROGRAM PLANNING AND APPROVAL

Board of Regents' policy calls for joint planning of new degree programs, with formal Board approval at stipulated decision points, to ensure such planning meets the policies and principles contained in ACIS-1.0, *Academic Planning and Program Review*.

Formal activity in the new program planning process begins when an institution requests an Entitlement to Plan a new academic program leading to a degree. The program development and authorization process for new majors and degree programs involves four primary phases, which are outlined below.

I. REQUEST FOR ENTITLEMENT TO PLAN A NEW PROGRAM

A. The institution determines the feasibility of developing and requesting a new degree program. Informal consultation with other institutions is strongly encouraged.

B. The Vice Chancellor for Academic Affairs sends a memo to the UW System Senior Vice President for Academic Affairs requesting an Entitlement to Plan a new degree program. This memo includes a brief statement identifying the program and addressing the following issues (extensive documentation not required):

1. Relation to institutional mission, strategic plan, goals and objectives;

2. Projected source of resources (reallocation, external funds, request for new dollars);

3. Need for the program;

4. Relation to other academic programs in the UW System, the region and, if appropriate, the nation.

C. The UW System Office of Academic Affairs circulates the request for entitlement to the Vice Chancellors of all institutions for comment. The purpose of this review is to ensure that all institutions know about the request and to consider the potential for collaboration. Institutions typically are asked to respond within 30 days.

1. The institutions' comments are forwarded to the Vice Chancellor of the requesting institution and are shared with the Vice Chancellors of all the other institutions.

2. If necessary, the UW System Office of Academic Affairs consults with institutions to determine how the proposed program fits into Systemwide program array and whether revisions need to be made to the proposal.

D. The UW System Senior Vice President for Academic Affairs makes a decision on the request for Entitlement to Plan. S/he may consult with the Vice Chancellor for Academic Affairs prior to making that decision.

1. The decision may be to a) approve the Entitlement to Plan, b) return the proposal to the institution for additional work, or c) deny the request.

2. If the UW System Office of Academic Affairs and the requesting institution are unable to reach an agreement on the disposition of the request for Entitlement to Plan, the request can be forwarded to the Chancellor and the President for resolution.

E. Approved entitlements expire after five years if the institution takes no further actions. The UW System Office of Academic Affairs regularly updates the Entitlement to Plan list which is available upon request.

II. AUTHORIZATION TO IMPLEMENT THE NEW PROGRAM

A. The institution develops a proposal for Authorization to Implement the entitled program (see attached suggested format). The following reviews must be included in the process of developing the proposal. Choice of the sequence of these reviews is left to the institution.

1. Review of the proposal by a three-person Program Review Committee consisting of at least two representatives of the institution (one of whom should represent the Vice Chancellor for Academic Affairs) and a representative of the UW System Office of Academic Affairs. The Vice Chancellor for Academic Affairs appoints the institutional representatives, and the Senior vice President for Academic Affairs appoints the System representative. The Vice Chancellor's representative typically convenes the Committee. The role of the UW System representative is to work with the institutional representatives to ensure that the final proposal addresses the kinds of issues that might concern the Board of Regents.

2. Review of the proposal by at least two consultants from outside the proposing institution(s).

3. Review of the proposal by the appropriate institutional governance bodies.

B. When the above reviews are completed, the Program Review Committee recommends to the Vice Chancellor for Academic Affairs whether the academic program should be implemented. If the Committee recommends implementation and the Vice Chancellor agrees, the Committee prepares an Executive Summary to be submitted to the Board of Regents. The Vice Chancellor then submits the complete

proposal and the Executive Summary to the UW System Senior Vice President for Academic Affairs.

C. The Board of Regents acts on the proposal for Authorization to Implement the program.

III. IMPLEMENTATION OF THE NEW ACADEMIC PROGRAM

A. The institution is responsible for implementation. However, the Authorization to Implement expires five years from the date of Board approval of the Authorization if the institution takes no further action.

B. The Vice Chancellor notifies the Senior Vice President for Academic Affairs in writing when the program is actually implemented.

IV. JOINT PROGRAM REVIEW

A. The institution and UW System Administration undertake a Joint Review approximately five years after implementation of the program.

B. The UW System Office of Academic Affairs notifies the institution that the program is due for the Joint Review. That notification includes a copy of the original Executive Summary and establishes a target date for completion of the review. The general purposes of this review, which are outlined in the notification memo, are to:

- Determine whether the goals and objectives, as originally stated in the program proposal, were met. If the goals and objectives were not met, determine the reasons why.
- Ascertain how the program is related to other programs offered by the institution and how important it is to the institution's program array.
- Assess the level of quality the program has attained since its implementation.
- Determine the resource implications of continuing this program.

C. The institution conducts an internal review of the program. The review process has three components:

1. The department(s) and faculty specifically concerned with implementation of the program complete a self-study. The institution will incorporate into its review additional college-, department-, and field-specific items appropriate for that program. See attached sample format for Joint Reviews.

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2. At least two (2) outside consultants evaluate the program.

3. A Joint Review Committee consisting of the members of the original Program Review Committee (see II.A.1. under Authorization to Implement) reviews the self-study report and all related documents, including the external evaluations. If the original members of this committee are not available, replacements will be named by the respective appointing officers.

D. The Joint Review Committee forwards its findings and recommendations to the Vice Chancellor for Academic Affairs. The Vice Chancellor then makes a recommendation to the Senior Vice President for Academic Affairs on the continuation, modification or discontinuation of the program, forwarding the Joint Review Committee's report and the outside consultants' evaluations with his/her recommendation.

E. The Senior Vice President for Academic Affairs notifies the institution of his/her decision regarding the program.

F. If the decision is to continue the program, that program enters the normal institutional review cycle.

SAMPLE FORMAT
AUTHORIZATION TO IMPLEMENT A NEW ACADEMIC PROGRAM

While you do not need to follow this format exactly, you do need to ensure that the information requested in the sample is contained in your proposal.

1. PROGRAM IDENTIFICATION

   1.1 **Title of Proposed Program**
   1.2 **Department or Functional Equivalent**
   1.3 **College, School, or Functional Equivalent**
   1.4 **Timetable for Initiation**

2. CONTEXT

   2.1 **History of Program:** Provide a brief chronological record of any program(s) from which the proposed program is developed (e.g., submajor currently available under existing program).

   2.2 **Instructional Setting of Program:** Describe the relationship of the proposed program to existing academic programs. As appropriate, describe interdepartmental or intercollegiate structures.

   2.3 **Relation to Mission Statement and Academic Plan:** Describe how the proposed program relates to the mission and academic plan of the institution.

3. NEED

   3.1 **Comparable Programs in Wisconsin:** Identify similar programs in the state. Compare these programs to the proposed program.

   3.2 **Comparable Program Outside Wisconsin:** Identify similar programs in neighboring states available to Wisconsin residents. Compare these programs to the proposed program. (Special emphasis should be placed on opportunities available under the reciprocity agreement with Minnesota institutions.)

   3.3 **Regional, State and National Needs:** Discuss estimated future employment opportunities for graduates of this program. Compare the estimated need for graduates with the estimated number of graduates from this program and existing programs identified in 3.1 and 3.2 above. Where appropriate, provide documentation by citing data from organizations such as the Bureau of Labor Statistics and/or professional associations. Describe any special need for this program expressed by state agencies, industry, research centers, or other educational institutions. Provide documentation, including citations of relevant state regulations or employer policy.

3.4 **Student Demand--Future Enrollment:** Provide projections for anticipated enrollment and number of degrees to be granted for each of the first five years.

3.5 **Collaborative or Alternative Program Exploration:** Discuss the possibility of offering the proposed, or an equivalent, program collaboratively with another institution, or as a submajor in conjunction with some existing program.

4. PROGRAM DESCRIPTION AND EVALUATION

4.1 **Objectives:** Provide a brief narrative description of the program. List the central academic objectives of the program to be used in evaluating its future success.

4.2 **Curriculum:** Discuss the proposed sequence of courses or provide a course matrix for the program, clearly indicating any new courses proposed. Note prerequisite and required courses within and outside the sponsoring department. Describe program entrance requirements, (e.g. completion of a number of credits, minimum GPA or GRE score). Also describe all degree completion requirements (e.g. portfolio, theses, oral exams, foreign language proficiency, capstone seminar, senior project internship). For graduate programs, discuss the mix of graduate-only and undergraduate/graduate courses. Describe the proposed curriculum in terms of credits-to-degree and reasonable timelines for degree completion.

4.3 **Interrelationship with Other Curricula:** Briefly describe how the new program will support and/or be supported by other institutional programs. Discuss any relationships with the general education program.

4.4 **Method of Assessment or Evaluation:** Outline a general plan for the ongoing evaluation of program success for each of the academic objectives listed above, including plans for quantitative or qualitative indicators and assessment of student learning. Indicate who will conduct the evaluation and how often it will occur.

4.5 **Accreditation Requirement:** If program-specific accreditation is available for the proposed program, contrast the impact on curriculum, total program costs and job opportunities for graduates of an accredited versus a non-accredited program.

4.6 **Strengths or Unique Features:** Describe any special strengths or unique features offered by the proposed program.

4.7 **Career Advising:** Describe the career advisory services directly related and available to students in the program.

4.8 **Outreach (if applicable):** Outline credit and noncredit outreach functions, including public service, provided by this academic program.

5. PERSONNEL

5.1 **Faculty Participating Directly in the Program:** List present faculty members who will directly participate in the proposed program as instructors and/or student advisors and append an **abbreviated** curriculum vitae for each of these core faculty members.

5.2 **Advisory Faculty:** List faculty members (other than those listed for 5.1) who will be involved in the program in a related or advisory capacity. Particularly for faculty members in other departments or colleges, outline the extent of their involvement and plans for continued involvement.

5.3 **Additional Faculty Requirements:** Indicate the number, if any, of new faculty members (FTE) required to initiate the program, and project long-range needs for new faculty (with tentative timetable). Indicate whether new positions are required or can be reallocated from elsewhere within the institution. Indicate the source for reallocation.

5.4 **Academic Staff:** List current instructional and noninstructional academic staff members who would be assigned to the proposed program. Indicate the number, if any, of new academic staff required to initiate the program, and project long range needs for new academic staff (with tentative timetable). Indicate whether new positions are required or can be reallocated from elsewhere within the institution. Indicate the source for reallocation.

5.5 **Classified Staff:** Provide information requested in 5.4 for classified staff.

6. ACADEMIC SUPPORT SERVICES

6.1 **Library Resources:** Describe and evaluate current library resources necessary for the proposed program. Indicate additional library resources needed, the estimated cost, and the source for resources.

6.2 **Additional Support Resources:** Describe and evaluate special resources (computers, unique laboratories, audio-visual and other equipment, access to data bases, etc.) currently available to the proposed program. Indicate how additional special resources needed, if any, will be provided.

7. FACILITIES - EQUIPMENT

7.1 **Capital Resources**--Existing Facilities and Capital Equipment: List and evaluate facilities and capital equipment currently available to the proposed program.

7.2 **Capital Budget Needs**--Additional Facilities Required: List and describe facilities (special classrooms, laboratories, additional space, minor construction) needed to begin or sustain the proposed program. Provide an estimate of costs. Discuss impact upon

the program if these resources are not provided through new state appropriations. Discuss expectations for extramural funding. If applicable, discuss plans for waste management and disposal.

7.3 **Clinical Facilities:** For health science programs or programs making clinical placements, describe the laboratories and/or agencies to be used for clinical instruction. Append supporting statements indicating that these facilities will be available.

8. FINANCE

8.1 **Operating Budget Requirements:** Describe funding requirements and, using the attached sample budget format as a model, show the total budgetary allocation required to implement this program and to fund it for the first three years.

8.2 **Operating Budget--S&E Requirements:** Describe supplies and expense needs for the requested program. Include information on funding sources (reallocation, private funding). If applicable, discuss plans for waste management and disposal.

8.3 **Operating Budget Reallocation:** Most, if not all, of the funding requirements outlined above will be met by reallocation of base resources. Indicate that you are prepared to reallocate the necessary resources. If the necessary resources are not immediately available, explain contingency plans (phase-in of the program; delay in starting the program until additional funds can be found; delay until external fund-raising is successful).

8.4 **Extramural Research Support:** Indicate sources and amounts of extramural funding support expected to be available for research related to the proposed program. Provide documentation supporting the basis of this expectation.

SAMPLE

SUMMARY OF ESTIMATED COSTS AND RESOURCES FOR PROPOSED PROGRAM

PERSONNEL COSTS	FIRST YEAR		SECOND YEAR		THIRD YEAR	
	DOLLARS	#FTE	DOLLARS	#FTE	DOLLARS	#FTE
Faculty/Academic Staff						
Graduate Assistants						
Classified Staff						
SUBTOTAL						

NON-PERSONNEL COSTS	DOLLARS	DOLLARS	DOLLARS
Supplies And Expenses			
Capital Equipment			
Library Resources			
Computing Resources			
Other (Define)			
SUBTOTAL			
TOTAL COSTS FOR PROGRAM			

RESOURCES	DOLLARS	DOLLARS	DOLLARS
Reallocation			
Gifts and Grants			
Other (Define)			
TOTAL RESOURCES			

Authorization to Implement a New Academic Program
Transmittal Request

Before a proposed program can be brought before the Board of Regents for consideration, the Vice Chancellor for Academic Affairs should submit a letter to the Senior Vice President for Academic Affairs requesting the program's submission to the board. This request should have appended all supporting documentation used in preparing the Executive Summary for the board. Following regent approval, this material will be the official record of this new program and will remain on file at the Office of Academic Affairs until completion of the program's joint five-year review.

Please refer to the checklist below when preparing the addenda to the request:

_____ Complete and final copy of the Authorization to Implement (Sample format included in the Guidelines for Academic Program Planning and Review);

_____ Complete and final copy of the Executive Summary;

_____ Signed reports from at least two outside consultants;

_____ Indication of approval by the appropriate institutional governance bodies.

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SAMPLE FORMAT
JOINT REVIEW SELF-STUDY

While you do not need to follow this format exactly, you do need to ensure that the information identified in the sample is contained in your self study.

1. PROGRAM DESCRIPTION AND CONTEXT

   1.1 **Goals and Objectives**: Provide a statement of the objectives and goals of the program and describe any changes that have occurred since the program was implemented. In an appendix, attach copies of any printed program information, such as catalogue text, brochures, and other pertinent information describing the program.

   1.2 **Context**: Describe the context for the program, including its relationship to the University's mission and its long-range plans, and to other academic programs within the UW System. Also compare it to similar types of programs in the region and nation.

   1.3 **Need**: Discuss what needs are being met by this program and whether these needs could be met more effectively through collaboration with other programs in the UW System. If so, discuss how collaboration might occur.

2. PERSONNEL

   2.1 **Faculty**: Discuss any changes in the faculty participating directly in the core and elective courses. Indicate to what extent new faculty have been recruited. Append short vitae for the core faculty members along with a list of names and departments of other faculty associated with the program.

   2.2 **Administrative Structure**: Describe the current administrative structure for the program including the relationship between program faculty and their areas of concentration within the program. Also describe the relationship and interaction among the program faculty who are from different departments and different schools.

3. STUDENTS

   3.1 **Enrollment Trends:** Review, verify, and analyze the trends pertaining to degree program enrollment and degree recipients contained in the data provided by UW System Administration.

   3.2 **Degree Recipients:** Provide information about the post-baccalaureate employment or graduate training of degree recipients.

   3.3 **Projected Enrollment:** Discuss the potential for future enrollment in the program as related to past enrollment and existing resources. In addition, provide a chart showing projected enrollments and graduates.

4. PROGRAM DESCRIPTION AND EVALUATION

4.1 **Curriculum:** Provide any changes in the initial list of foundation and core courses for the program, and a sample sequence of courses taken by the majority of students in the program. Include additional sequences if there are multiple areas of specialization within the program.

4.2 **Assessment:** Using the assessment plan developed for the program in the proposal for Authorization to Implement, evaluate the program's success in meeting the stated objectives, including assessment of student learning.

4.3 **Accreditation:** If specialized accreditation is available for this program, discuss the rationale of applying or not applying, the impact of accreditation standards upon the curriculum, and the impact of accreditation standards on the total program costs.

4.4 **Concerns:** Describe any problems that the program has faced/is facing and provide recommendations for resolving them.

5. ACADEMIC SUPPORT SERVICES

5.1 **On-going Support:** Describe the physical facilities, capital equipment, library resources and supplies that sustain the program.

5.2 **Additional Support:** Discuss any special programs, faculty, or outreach activities designed to enhance the program.

6. FINANCE

6.1 **Program Cost:** Show program cost-per-credit and per-degree. Provide comparisons with similar programs.

6.2 **Budget Requirements:** Discuss whether the current operating budget is adequate to assure program quality. If additional support is needed to sustain program quality, indicate the areas affected and the amount and source of future funding for these areas.

6.3 **Capital Requirements:** Discuss any capital budget expenditures necessary to sustain the program and provide an estimate of costs.

7. SUMMARY

7.1 **Summary Evaluation:** Summarize the program's overall effectiveness with respect to the original expectations. Indicate any observed obstacles to the fulfillment of the original objectives and the measures taken to overcome those obstacles. Describe any unanticipated contributions of the program to the teaching, research, or outreach mission of other departments at your institution or the university as a whole.

7.2 **Recommendations:** Recommend action for continuation with the final review process for this program, for revision of the program and later final review, or for discontinuance of the program.

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